

WIA Monitoring Process Utilized by Workforce Development Board Program Year 2005

IDENTIFYING DATA

WDA _____ Date of Review _____

DWS Staff Reviewer(s) _____

WDB Staff Interviewed _____

PURPOSE

The purpose of this guide is to collect information for determining the adequacy of the workforce development board's monitoring and oversight processes for WIA programs.

PRIMARY CONCERNS:

- Quality of monitoring planning and processes
- Adequacy of WDA monitoring activity (including scope, documentation and follow-up)
- Oversight role and responsibilities of the WDB and Local Elected Official (LEO)
- Application of monitoring results to program planning and selection of contractors and subgrantees
- Compliance with 20 CFR 661.305

Sources of Information for review:

1. 20 CFR 661.305, WIA Federal Rules and Regulations
2. DWD/DWS Administrator's Memo Series 05-25 Revised dated 12/29/2005
3. Monitoring guides and timetable submitted by the WDB as requested in the Program Year 2005 WIA Monitoring Survey.
4. A sample monitoring report with findings completed by the WDB during Program Year 2005.

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1. Describe how the WDB monitors and evaluates service providers:
 - a) Who develops the list of topics to be monitored for the year?
 - b) What topics are typically reviewed? (performance, fiscal)
 - c) Who develops the monitoring guides?
 - d) Who conducts the monitoring?
 - e) Who writes the monitoring reports?
 - f) How and to whom are the monitoring results distributed?
 - g) Who presents monitoring results to the WDB?
 - h) What actions are taken based on the results of monitoring? Who is responsible for taking action? Who is responsible for follow-up?
 - i) When was the last monitoring of service providers conducted?

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2. Determine if the WDB and LEO meet the oversight requirements of 20 CFR 661.305 which includes monitoring of the WDB/administrative entity and its subcontractors. This is based on review of the above report and further discussion with the WDB. Monitoring procedures to be followed are:
 - a. The WDB and LEO must perform independent oversight of the WIA program.
 - b. A degree of independence must exist between the agency and the monitoring activity.
 - c. A conflict of interest, or appearance of, must not exist. For example, staff that performs monitoring should not be employed by the agency being monitored.
 - d. A separate, outside entity may also performance agency monitoring.
 - e. If it is not financially feasible for an outside entity to conduct monitoring, an alternative would be to have the WDB monitoring staff report the monitoring results directly to the WDB/LEO.
3. Local Program Liaison should review at least one completed monitoring report with findings and respond to each of the following items.
 - a. What is the name of contractor monitored and the date(s) monitoring occurred?
 - b. Is there a written report to indicate that formal, on-site monitoring of this subgrantee occurred? If so, what is the date of the report? Describe the areas monitored (i.e., program, financial, non-discrimination, EEO, terms and conditions of agreement).

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- c. Are there records to show that corrective action, follow-up and resolution of findings and identified problems have occurred?

- 4. How are monitoring results used in program, planning and in the selection of service providers?

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OBSERVATIONS AND CONCLUSIONS

Use this form to summarize major findings, issues, and concerns. To the degree possible, note recommendations and follow-up steps to be taken, along with how this will be accomplished, in particular as well as any technical assistance needs identified.

1. Based on the interview, are there any concerns about the WDA's monitoring process?
2. Were any problems/issues/technical assistance needs identified?
3. Are there any best practices that could be shared with other WDAs?
4. What are the recommended actions?
5. Is follow-up required? If so, when?

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Summary of Review

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DWS Staff Reviewer(s) _____

WDB Staff Interviewed _____

Summary and Observations. Summarize the strengths (including best practices) and weaknesses identified.

Follow Up Needed.

Technical Assistance Needs. Identify technical assistance needs of the WDB or program provider.